

ELEVEN STARS SECURITIES (PVT) LTD.

121, 3rd Floor, Pakistan Stock Exchange Building, I.I Chundrigar Road, Karachi.

Annexure A

KYC / CDD Checklist for Individuals & Joint A/C Holders

For Internal Use Only

Date	Account Title	Re f#	
		CDC Sub A/C #	
		UIN #	

SECTION A Minimum Information / Documents to be provided by Investor

1. Individual / Main Account Holder	Plz. Tick	2. Remarks
(a) CNIC of Principal and Joint Holders / Passport for Foreign Nationals / NICOP for non-resident Pakistanis.		
(b) Place of Residence owned / rented / others (Specify)		
(c) Sources of Income		
(d) NTN Certificate, where available		

SECTION B

Assessment of information provided in section A		
1. Is (Are) the investor(s) also the ultimate beneficiary of the funds to be invested	Yes	No
2. Are the joint account holders ultimate beneficiaries of the account in equal shares.	Yes	No
3. Where interest of joint holders is other than equal, have you obtained copy of partnership deed.		

SECTION C

Individual / Main Account Holder		
1. Is the person a non-resident Pakistani	Yes	No
2. Is the person a high net worth individual with no identifiable source of income or his/her profile/source of income doesn't match with size & quantum of investments/	Yes	No
3. Is the person involved in dealing in high value items eg. Gold, Diamonds (based on declared occupation)	Yes	No
4. Is the person a foreign national	Yes	No
5. Does the person appear to have links or money transfer to/from offshore tax havens or belongs to country(s) where KYC/CDD and anti money laundering regulations are lax (in terms of not sufficiently applying FATF recommendations)	Yes	No
6. Is there any reason to believe that the person has been refused account opening by another financial institution / brokerage house	Yes	No
7. Is the person opening the brokerage account on a non-face-to-face basis/on-line	Yes	No
8. Is the person a holder of a senior level public (government) office i.e. a politically exposed person (PEP) or a family member of PEP.	Yes	No
9. Is the person a holder of high profile position (e.g. senior politician)	Yes	No

SECTION D

Politically Exposed Person / Foreign National / Holders of High Profile Position		
Is the brokerage account relationship with this high risk category person including politically exposed person / foreign national / holder of high profile position, approved by the Nominee Director, CEO / COO of the brokerage house (approval shall be provided by management through signing the respective Account Opening Form	Yes	NA

CONFIRMATION of physical presence of customer when opening account	Yes	No

Completed by:	Muhammad Aamir - Compliance Person	Signature	Date
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Checked by:	Abdul Latif / Sarfaraz - Directors	Signature	Date
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Other Comments

Date	Remarks	Name of Officer

SECTION E

Investor Risk Profile		
	Risk Classification	KYC Requirements
1	LOW RISK	Reduced KYC Requirements shall be applicable: Investor account can be opened once information /documents mentioned in section A have been provided.
2	MEDIUM RISK	Greater care required and documents listed in Section A should be obtained before opening of account.
3	HIGH RISK	Enhanced KYC Requirements shall be applicable: Investor account can be opened once information / documents mentioned in section A have been provided. Transactions shall be monitored to ensure that the funds used for investments are from an account under the Investor's own name in a financial institution (e.g. bank) subject to high due diligence standards and the amount and frequency of investments are not unusual given the nature and financial strength of the Investor
4	HIGH RISK	Account cannot be opened as KYC Requirements have not been fulfilled.